

11/20/01
jc825 U.S. PTO

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1001.03.05.21.12001A

Please type a plus sign (+) inside this box ☐

PTO/SB/05 (11-00)
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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	GS 149
	First Inventor	Fwu-Iuan Hsieh et al.
	Title	METHOD OF FORMING NARROW TRENCHES IN
	Express Mail Label No.	ET477939696US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents</small>	ADDRESS TO: Assistant Commissioner for Patents, Box Patent Application Washington, D.C. 20231
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<p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 14]</small> (preferred arrangement set forth below)</p> <ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets 6]</small></p> <p>5. Oath or Declaration <small>[Total Pages 3]</small></p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p>	<p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p>
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information. Examiner _____ Group / Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS				
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		27774		or <input type="checkbox"/> Correspondence address below
(Insert Customer No. or Attach bar code label here)				
Name				
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Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721
Signature	<i>Karin L. Williams</i>	Date	11/20/01

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

Complete if Known

Application Number	Unassigned
Filing Date	Filed Herewith
First Named Inventor	Fwu-Iuan Hsieh et al.
Examiner Name	Unassigned
Group Art Unit	Unassigned
Attorney Docket No.	GS 149

TOTAL AMOUNT OF PAYMENT**\$798.00****METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number**Mayer Fortkort & Williams, PC**Deposit
Account
Name**50-1047**

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status
See 37 CFR § 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					\$740.00

2. EXTRA CLAIM FEES

Extra Claims		Fee from below	Fee Paid
Total Claims	21 -20** = 1	X 18.00	= 18.00
Independent Claims	2 -3** = 0	X 84.00	= 0.00
Multiple Dependent			

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$18.00

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non - English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR § 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$40.00**SUBMITTED BY**

Name (Print/Type)	Karin L. Williams	Registration No. (Attorney/Agent)	36,721	Telephone	908-518-7700
Signature	Karin L. Williams			Date	11/20/01

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November 20, 2001

Assistant Commissioner for Patents
Box Filing Date
Washington, DC 20231

Dear Sir:

Re: New U.S. Patent Application
Inventor: Fwu-Iuan Hsieh et al.
Filed: Herewith
Title: METHOD OF FORMING NARROW TRENCHES IN
SEMICONDUCTOR SUBSTRATES
Docket: GS 149

I hereby declare that I attempted to deposit the above-referenced new U.S. Patent Application with the United States Postal Service (USPS, Westfield, New Jersey) as Express Mail under 37 CFR 1.10 on November 20, 2001, and the USPS refused to accept this correspondence due to the recent emergency.

Per the instructions provided by the US PTO website (www.uspto.gov/september11/uspsmaildisrup.htm), the above-referenced application has been re-deposited with the USPS on November 20, 2001 as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, BOX FILING DATE, Washington, DC 20231.

A November 20, 2001 filing date is respectfully requested.

Yours truly,
MAYER FORTKORT & WILLIAMS, PC

Marjorie Scariati
Marjorie Scariati
Patent Paralegal

Enclosure

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.
Applicant(s): Fwu-luan Hshieh et al.			GS 149
Serial No. Unassigned	Filing Date Filed Herewith	Examiner Unassigned	Group Art Unit Unassigned
Invention: METHOD OF FORMING NARROW TRENCHES IN SEMICONDUCTOR SUBSTRATES			
<p>I hereby certify that this <u>New U.S. Patent Application</u></p> <p style="text-align: right;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>11/20/01</u></p> <p style="text-align: center;"><i>(Date)</i></p> <p style="text-align: right;"><u>Marjorie Scariati</u></p> <p style="text-align: right;"><i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <p style="text-align: right;"><u><i>Marjorie Scariati</i></u></p> <p style="text-align: right;"><i>(Signature of Person Mailing Correspondence)</i></p> <p style="text-align: right;"><u>ET477939696US</u></p> <p style="text-align: right;"><i>("Express Mail" Mailing Label Number)</i></p>			
<p>Note: Each paper must have its own certificate of mailing.</p>			